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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/752,490	12/28/2000	David A. Rieger	12688US01	9503

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EXAMINER

PWU, JEFFREY C

ART UNIT	PAPER NUMBER
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2143

DATE MAILED: 10/06/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/752,490

Applicant(s)

RIEGER ET AL. 

Examiner

Jeffrey Pwu

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-56 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-56 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. ____. |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>3/8/2001</u> . | 6) <input type="checkbox"/> Other: ____.  |

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-56 are rejected under 35 U.S.C. 102(e) as being unpatentable over Lewis (U.S. 6,513,019).

Lewis discloses claims:

1. A method of organizing security inquiries and potential security purchases utilizing a computer with a display comprising:

entering into the computer inquiry information about securities desired for purchase (figs. 21, 22);  
entering into the computer potential purchase information about available securities (figs. 21, 22);  
entering into the computer a plurality of algorithms for matching the inquiry information with the purchase information (figs. 23, 24);  
selecting one of the algorithms (see “Rule 3”);

matching by means of the selected one algorithm the inquiry information with the purchase information; and reporting the results of the matching by means of the computer (fig.4, 190 - “Reporting Engine”)

2. A method, as claimed in claim 1, wherein said inquiry information comprises a security par dollar amount for each of at least some of said securities desired for purchase, wherein said purchase information comprises a security dollar amount for each of at least some of said available securities and wherein said selected one algorithm attempts to match said security dollar amounts with said security par dollar amounts (see “Rule 3”).

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3. A method, as claimed in claim 2, wherein said selected one algorithm attempts to match each of said security dollar amounts in turn with said security par dollar amounts (col.15, line 39-col.17, line 33).
4. A method, as claimed in claim 1, wherein said inquiry information comprises a desired range of maturity times of at least some of said securities desired for purchase, wherein said purchase information comprises a maturity time for at least some of said available securities and wherein said selected one algorithm attempts to match said range of maturity times of said securities desired for purchase with said maturity time for said available securities (col.15, line 39-col.17, line 33).
5. A method, as claimed in claim 4, wherein said selected one algorithm attempts to match inquiry information with a smaller range of maturity times before attempting to match inquiry information with a larger range of maturity times (col.15, line 39-col.17, line 33).
6. A method, as claimed in claim 1, wherein said inquiry information is arranged in order and wherein said selected one algorithm matches attempts to match said purchase information with said inquiry information according to said order (col.15, line 39-col.17, line 33).
7. A method, as claimed in claim 6, wherein said order is the order in which said inquiry information was entered into said computer (Claim 1).
8. A method, as claimed in claim 1, wherein said entering inquiry information comprises entering a plurality of inquiries, each inquiry being limited to securities with a single issuer name (figs. 21, 22).
9. A method, as claimed in claim 8, wherein said inquiries comprise an inquiry number, a state associated with said securities desired for purchase, and an account identifier (figs. 21, 22).
10. A method, as claimed in claim 9, wherein said inquiries further comprise a quantity of said securities desired for purchase, a price of said securities desired for purchase and a range of maturity times for said securities desired for purchase (figs. 21, 22).
11. A method, as claimed in claim 1, wherein said entering purchase information comprises entering a plurality of entries about said available securities, at least some of said entries comprising a name of an issuer of the available security associated with the entry (figs. 21, 22).
12. A method, as claimed in claim 11, wherein each said entry further comprises a state associated with the available security associated with the entry, the par dollar amount of the security associated with the entry, and the maturity time of the security associated with the entry (figs. 21, 22).
13. A method, as claimed in claim 12, wherein said entry further comprises a CUSIP for said security associated with said entry ("The system contains many business object classes ("business objects"), i.e., groups of interrelated database tables that pertain to a business subject, combined with functional objects

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and methods for processing the data and information stored in such tables. FIG. 7 exemplifies database tables that are associated with business objects for processing market data. This Figure shows how the database stores data that describes three characteristics of a common stock issue: (1) issue type (equity), (2) issue description (IBM Common), and (3) two forms of issue identifier (e.g., ticker and CUSIP number).”)

14. A method, as claimed in claim 1, wherein said reporting comprises displaying said results on said computer display (fig.7).

15. A method, as claimed in claim 1, and further comprising finalizing a trade of at least one of said available securities (col.15, line 39-col.17, line 33).

16. A method, as claimed in claim 15, wherein said finalizing comprises entering a CUSIP and a broker or dealer identification (fig.7).

17. A method, as claimed in claim 15, wherein said finalizing comprises checking for similar or matching issues for previous security purchases for said inquiry information (col.15, line 39-col.17, line 33).

18. A method, as claimed in claim 15, wherein said reporting further comprises listing said available securities for which trade was finalized (col.15, line 39-col.17, line 33).

19. A method, as claimed in claim 15, wherein said reporting comprises listing said inquiry information not subject to said finalizing (col.15, line 39-col.17, line 33).

20. A method, as claimed in claim 1, wherein said available securities are issued by an issuer and wherein said reporting further comprises listing approved issuers (col.15, line 39-col.17, line 33).

21. A method, as claimed in claim 1, wherein said entering potential purchase information comprises: entering potential purchase parameters; searching a data base for security information corresponding to said parameters; and reporting the results of said searching (col.15, line 39-col.17, line 33).

22. A method, as claimed in claim 21, wherein said database is located remotely from said computer and wherein said searching comprises transmitting data via the Internet (figs. 2 & 3).

23. A method, as claimed in claim 1, wherein said entering potential purchase information comprises: selecting one of said available securities; and reporting information about said selected security from a database (col.15, line 39-col.17, line 33).

24. A method, as claimed in claim 23, wherein said database is located remotely from said computer and wherein said reporting comprises transmitting data via the Internet (fig.29).

25. A method, as claimed in claim 1, wherein said entering inquiry information comprises: receiving said inquiry information from a data base; and reporting said received inquiry information (col.15, line 39-col.17, line 33).

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26. A method, as claimed in claim 25, wherein said database is located remotely from said computer and wherein said reporting comprises transmitting data via the Internet (col.15, line 39-col.17, line 33).

27. A method, as claimed in claim 1, wherein said entering potential purchase information comprises: receiving said potential purchase information from a data base; and reporting said received potential purchase information (fig.28).

28. A method, as claimed in claim 27, wherein said database is located remotely from said computer and wherein said reporting comprises transmitting data via the Internet (col.15, line 39-col.17, line 33).

29. Apparatus for organizing security inquiries and potential security purchases comprising: an output device arrange to display information; a memory; and a computer connected to: store inquiry information about securities desired for purchase; store potential purchase information about available securities; store a plurality of algorithms for matching the inquiry information with the purchase information; execute one of the algorithms; match by means of the selected one algorithm the inquiry information with the purchase information; and report the results of the matching on the output device (Claim 29 is similarly rejected as in claim 1).

30. Apparatus as claimed in claim 29, wherein said inquiry information comprises a security par dollar amount for each of at least some of said securities desired for purchase, wherein said purchase information comprises a security dollar amount for each of at least some of said available securities and wherein said selected one algorithm attempts to match said security dollar amounts with said security par dollar amounts (col.15, line 39-col.17, line 33).

31. Apparatus, as claimed in claim 30, wherein said selected one algorithm attempts to match each of said security dollar amounts in turn with said security par dollar amounts (col.15, line 39-col.17, line 33).

32. Apparatus, as claimed in claim 29, wherein said inquiry information comprises a desired range of maturity times of at least some of said securities desired for purchase, wherein said purchase information comprises a maturity time for at least some of said available securities and wherein said selected one algorithm attempts to match said range of maturity times of said securities desired for purchase with said maturity time for said available securities (col.15, line 39-col.17, line 33).

33. Apparatus, as claimed in claim 32, wherein said selected one algorithm attempts to match inquiry information with a smaller range of maturity times before attempting to match inquiry information with a larger range of maturity times (col.15, line 39-col.17, line 33).

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34. Apparatus, as claimed in claim 29, wherein said inquiry information is arranged in order and wherein said selected one algorithm matches attempts to match said purchase information with said inquiry information according to said order (col.15, line 39-col.17, line 33).

35. Apparatus, as claimed in claim 34, wherein said order is the order in which said inquiry information was entered into said computer.

36. Apparatus, as claimed in claim 29, wherein said inquiry information comprises a plurality of inquiries, each inquiry being limited to securities with a single issuer name.

37. Apparatus, as claimed in claim 36, wherein said inquiries comprise an inquiry number, a state associated with said securities desired for purchase, and an account identifier.

38. Apparatus, as claimed in claim 37, wherein said inquiries further comprise a quantity of said securities desired for purchase, a price of said securities desired for purchase and a range of maturity times for said securities desired for purchase (col.15, line 39-col.17, line 33).

39. Apparatus, as claimed in claim 29, wherein said purchase information comprises a plurality entries about said available securities, at least some of said entries comprising a name of an issuer of the available security associated with the entry (col.15, line 39-col.17, line 33).

40. Apparatus, as claimed in claim 39, wherein each said entries further comprises a state associated with the available security associated with the entry, the par dollar amount of the security associated with the entry, and the maturity time of the security associated with the entry (col.15, line 39-col.17, line 33).

41. Apparatus, as claimed in claim 40, wherein each of said entries further comprises a CUSIP for said security associated with said entry (col.15, line 39-col.17, line 33).

42. Apparatus, as claimed in claim 29, wherein said output device comprises a computer display (fig.29).

43. Apparatus, as claimed in claim 29, wherein said computer is further arranged to finalize a trade of at least one of said available securities (col.15, line 39-col.17, line 33).

44. Apparatus, as claimed in claim 43, wherein said computer finalizes the trade in part by storing a CUSIP and a broker or dealer identification (fig.7).

45. Apparatus, as claimed in claim 43, wherein said computer finalizes the trade in part by checking for similar or matching issues for previous security purchases for said inquiry information (col.15, line 39-col.17, line 33).

46. Apparatus, as claimed in claim 43, wherein said computer is further arranged to list said available securities for which the trade was finalized (col.15, line 39-col.17, line 33).

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47. Apparatus, as claimed in claim 43, wherein said computer is further arranged to list said inquiry information that was not finalized (col.15, line 39-col.17, line 33).

48. Apparatus, as claimed in claim 29, wherein said available securities are issued by an issuer and wherein said computer is arranged to list approved issuers.

49. Apparatus, as claimed in claim 29, and further comprising a second computer storing a database, wherein said potential purchase information comprises potential purchase parameters and wherein said computer searches the data base for security information corresponding to said parameters and reports the results of said searching on said output device (col.15, line 39-col.17, line 33).

50. Apparatus, as claimed in claim 49, wherein said database is second computer is located remotely from said computer and wherein said second computer transmits data to said computer via the Internet (It is inherent that the database located communicates remotely via the Internet)

51. Apparatus, as claimed in claim 29, and further comprising a second computer storing a database, wherein said potential purchase information comprises one of said available securities and wherein said computer reports information about said selected security from said database (col.15, line 39-col.17, line 33).

52. Apparatus, as claimed in claim 51, wherein said second computer is located remotely from said computer and wherein said second computer transmits data to said computer via the Internet (It is inherent that the database located communicates remotely via the Internet)

53. Apparatus, as claimed in claim 29, and further comprising a second computer storing a database, wherein said computer receives inquiry information from a data base and reports said inquiry information on said output device (col.15, line 39-col.17, line 33).

54. Apparatus, as claimed in claim 53, wherein said second computer is located remotely from said computer and wherein said second computer transmits data to said computer via the Internet (It is inherent that the database located communicates remotely via the Internet)

55. Apparatus, as claimed in claim 29, and further comprising a second computer storing a database, wherein said computer receives said potential purchase information from said database and reports said received potential purchase information on said output device (col.15, line 39-col.17, line 33).

56. Apparatus, as claimed in claim 55, wherein said second computer is located remotely from said computer and wherein said second computer transmits data to said computer via the Internet (It is inherent that the database located communicates remotely via the Internet)



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3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jeffrey Pwu whose telephone number is 703 308-7835. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyun Sough can be reached on 703 308-0505. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



JEFFREY PWU  
PRIMARY EXAMINER